

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>		Attorney Docket No. 500.43116X00
		First Inventor SUZUKI, KATSUYOSHI
		Title DISK ARRAY APPARATUS AND METHOD FOR CONTROLLING THE SAME
		Express Mail Label No. O S-PTO 03970 10/659398
APPLICATION ELEMENTS <i>SEE MPEP chapter 600 concerning utility patent application contents.</i>		ADDRESS TO: Mall Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria VA 22313-1450
<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original and a duplicate for fee processing)</i></p> <p>2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages: 44] <i>(preferred arrangement set forth below)</i></p> <ul style="list-style-type: none"> -Descriptive title of the invention -Cross Reference to Related Applications -Statement Regarding Fed sponsored R & D -Reference to sequence listing, a table, or a computer program listing appendix -Background of the Invention -Brief Summary of the Invention -Brief Description of the Drawings (<i>if filed</i>) -Detailed Description -Claim(s) -Abstract of the Disclosure <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Pages: 12]</p> <p>5. Oath or Declaration [Total Pages:]</p> <p>a. <input type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) <i>(for continuation/divisional with Box 18 completed)</i></p> <p>i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) Named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)</p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p>	<p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (<i>Appendix</i>)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission <i>if applicable, all necessary</i></p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. Specification Sequence Listing on:</p> <ul style="list-style-type: none"> i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper <p>c. <input type="checkbox"/> Statements verifying identity of above copies</p>	
ACCOMPANYING APPLICATION PARTS		
<p>9. <input type="checkbox"/> Assignment Papers (cover sheet & documents(s))</p> <p>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i></p> <p>11. <input type="checkbox"/> English Translation Document (<i>if applicable</i>)</p> <p>12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations</p> <p>13. <input type="checkbox"/> Preliminary Amendment</p> <p>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i></p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i></p> <p>16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.</p> <p>17. <input checked="" type="checkbox"/> Other: Claim For Priority Letter, Information Disclosure Sheet Under 37 CFR 1.56(a) w/refs., Credit Card Payment Form, Figs. 1-12</p>		

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP) of prior application No. _____

Prior application information: Examiner: _____ Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19 CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number	020457	<input type="checkbox"/> OR <input type="checkbox"/> Correspondence address below	
Name	ANTONELLI, TERRY, STOUT & KRAUS, LLP		
Address			
City	State	Zip Code	
Country	Telephone	(703) 312-6600	Fax (703) 312-6666
Name	Carl I. Brundidge		Registration No. (Attorney/Agent)
Signature			Date September 11, 2003

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27	Art Unit
TOTAL AMOUNT OF PAYMENT	(\$ 750.00)

METHOD OF PAYMENT (check all that apply)		FEE CALCULATION (continued)	
---	--	------------------------------------	--

<input type="checkbox"/> Check <input checked="" type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None	3. ADDITIONAL FEES		
--	--------------------	--	--

<input checked="" type="checkbox"/> Deposit Account:	Large Entity	Small Entity	
--	--------------	--------------	--

Deposit Account Number 01-2135	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
--------------------------------	---------------	---------------	-----------------	----------

Deposit Account Name Antonelli, Terry, Stout & Kraus, LLP	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
---	---------------	---------------	-----------------	----------

The Commissioner authorized to: (check all that apply)	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
--	---------------	---------------	-----------------	----------

<input type="checkbox"/> Charge fees indicated below <input checked="" type="checkbox"/> Credit any overpayments	1051	130	2051	65 Surcharge – late filing fee or oath
--	------	-----	------	--

<input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application	1052	50	2052	25 Surcharge – late provisional filing fee or cover sheet
--	------	----	------	---

<input type="checkbox"/> Charge fees indicated below, except for the filing fee to the above-identified deposit account.	1053	130	1053	130 Non-English specification
--	------	-----	------	-------------------------------

	1812	2,520	1812	2,520 For filing a request for <i>ex parte</i> reexamination
--	------	-------	------	--

	1804	920*	1804	920* Requesting publication of SIR prior to Examination action
--	------	------	------	--

	1805	1,840*	1805	1,840* Requesting publication of SIR after Examiner action
--	------	--------	------	--

	1251	110	2251	55 Extension for reply within first month
--	------	-----	------	---

	1252	410	2252	205 Extension for reply within second month
--	------	-----	------	---

	1253	930	2253	465 Extension for reply within third month
--	------	-----	------	--

	1254	1,450	2254	725 Extension for reply within fourth month
--	------	-------	------	---

	1255	1,970	2255	985 Extension for reply within fifth month
--	------	-------	------	--

	1401	320	2401	160 Notice of Appeal
--	------	-----	------	----------------------

	1402	320	2402	160 Filing a brief in support of an appeal
--	------	-----	------	--

	1403	280	2403	140 Request for oral hearing
--	------	-----	------	------------------------------

	1451	1,510	1451	1,510 Petition to institute a public use proceeding
--	------	-------	------	---

	1452	110	2452	55 Petition to revive – unavoidable
--	------	-----	------	-------------------------------------

	1453	1,300	2453	650 Petition to revive – unintentional
--	------	-------	------	--

Total Claims 18 -20** = 0	x 0.00	= 0.00	1501	1,300 2501 650 Utility issue fee (or reissue)
---------------------------	--------	--------	------	---

Indep. 3 -3** = 0	x 0.00	= 0.00	1502	470 2502 235 Design issue fee
-------------------	--------	--------	------	-------------------------------

Claims			1503	630 2503 315 Plant issue fee
--------	--	--	------	------------------------------

Multiple Dependent	0.00	= 0.00	1406	130 1460 130 Petitions to the Commissioner
--------------------	------	--------	------	--

	1807	50	1807	50 Processing fee under 37 CFR 1.17(q)
--	------	----	------	--

	1806	180	1806	180 Submission of Information Disclosure Stmt
--	------	-----	------	---

	8021	40	8021	40 Recording each patent assignment per property (times number of properties)
--	------	----	------	---

	1809	750	2809	375 Filing a submission after final rejection (37 CFR § 1.129(a))
--	------	-----	------	---

	1810	750	2810	375 For each additional invention to be examined (37 CFR § 1.129(b))
--	------	-----	------	--

	1801	750	2801	375 Request for Continued Examination (RCE)
--	------	-----	------	---

	1802	900	1802	900 Request for expedited examination of a design application
--	------	-----	------	---

	Other fee (specify) _____			SUBTOTAL (3) (\$ 0.00)
--	---------------------------	--	--	------------------------

	*Reduced by Basic Filing Fee Paid			SUBTOTAL (3) (\$ 0.00)
--	-----------------------------------	--	--	------------------------

SUBMITTED BY				Complete (if applicable)	
--------------	--	--	--	--------------------------	--

Name (Print/Type)	Carl I. Brundidge	Registration No. (Attorney/Agent)	29,821	Telephone	703-312-6600
-------------------	-------------------	--------------------------------------	--------	-----------	--------------

Signature	Date 09/11/2003				
-----------	-----------------	--	--	--	--

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.